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# ENHANCING CAPACITY FOR LOW EMISSION DEVELOPMENT STRATEGIES/EC-LED CLEAN ENERGY PROGRAM

COOPERATIVE AGREEMENT NO. 114-A-13-00008

## QUARTERLY PROGRESS REPORT

OCTOBER 1, 2013 – DECEMBER 31, 2013



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# **ENHANCING CAPACITY FOR LOW EMISSION DEVELOPMENT STRATEGIES/EC-LEDs CLEAN ENERGY PROGRAM**

## **QUARTERLY PROGRESS REPORT**

### **QUARTER 1, YEAR 1**

**OCTOBER 1, 2013 – DECEMBER 31, 2013**

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## Acronyms

BAU	Business as usual
BEO	Bureau Environmental Officer
CE	categorical exclusion
COM	Covenant of Mayors
DWG	Decision Ware Group
EA	environmental assessment
EC-LEDS	Enhancing Capacity for Low Emission Development Strategies
EE	energy efficiency
EIPMP	Emission Inventory, Projection, and Mitigation Planning
EMMP	Environmental Monitoring and Mitigation Plan
EPI	Economic Prosperity Initiative
GB	green building
GBCG	Green Building Council Georgia
GeMunee	Georgian Municipal Energy Efficiency
GHG	greenhouse gases
GOG	Government of Georgia
HPEP	Hydropower Policy and Energy Planning
IEE	Initial Environmental Examination
LED	low emission development
MoE-AD	Ministry of Energy and Natural Resources Analytical Department
NATELI	New Applied Technology Efficiency and Lighting Initiative
PEA	Programmatic Environmental Assessment
PMP	Performance Monitoring Plan
RE	renewable energy
SC	Steering Committee
SDAP-Center	Sustainable Development and Policy Center
SEAP	Sustainable Energy Action Plan
SS	scoping statement

## I. EC-LEDS CLEAN ENERGY PROGRAM EXECUTIVE SUMMARY

The USAID Georgia Enhancing Capacity for Low Emission Development Strategies (EC-LEDS) Clean Energy Program is a four-year (October 2013 – September 2017) effort focusing on three activities: 1) Georgian Municipal Energy Efficiency (GeMunee); 2) Green Building Rating and Certification System; and 3) National EC-LEDS Working Group and Advisory Assistance. Winrock International has been granted a cooperative agreement to implement the EC-LEDS Clean Energy Program for Georgia to support increased climate change mitigation by building municipal capacity in climate change mitigation measures and raising public awareness; increasing private sector investment in energy efficiency (EE) and green buildings (GB); and strengthening Government of Georgia (GOG) capacity to develop and implement a national Low Emission Development Strategy. This report represents the first quarter of the EC-LEDS Clean Energy Program covering the period of October 1, 2013, through December 31, 2013.

### Key Achievements (Qualitative Impact)

The EC-LEDS Clean Energy Program, funded by USAID/Caucasus, supports Georgia's efforts to increase climate change mitigation through energy efficiency and clean energy. The broader goal is to enable more responsible management and development of Georgia's natural endowments. The objectives of the program are to support Georgian municipalities in institutionalizing and implementing climate change mitigation measures, promoting and facilitating private sector investment in energy efficiency and green buildings, and building the capacity of the GOG to develop and implement a national Low Emission Development Strategy in support of the USG EC-LEDS initiative.

During the four years, the EC-LEDS Clean Energy Program is expected to reduce greenhouse gas (GHG) emissions in Georgia by at least 236,372.9 metric tons of CO<sub>2</sub> equivalent, facilitate up to \$14 million in private sector investments in clean energy, and lead to energy savings of up to 315 GWh (the equivalent of approximately \$22 million).

### *Component 1: Georgian Municipal Energy Efficiency (GeMunee)*

The EC-LEDS Clean Energy Program will build on USAID's support for Tbilisi (during the NATELI project) and expand assistance to at least nine other municipalities to enable their participation in the European Union Covenant of Mayors, including those that are already signatories. During quarter I, the project focused on requesting additional information from municipalities and on planning field visits to finalize and prioritize the ten (10) municipalities to be assisted. Remissia began developing the Emission Inventory, Projection, and Mitigation Planning (EIPMP) tool for use by municipalities.

### *Component 2: Green Building Rating and Certification System*

The EC-LEDS program is tasked with recommending, developing, and implementing a voluntary Green Building rating system in Georgia. During quarter I, green building expert Dr. John Williams conducted an assessment of building energy efficiency and green building markets, products, and practices.

The Ministry of Economy and Sustainable Development's Office of Spatial Planning and Construction Policy is developing a mandatory energy code with assistance from USAID's Economic Prosperity Initiative (EPI). EC-LEDS provided language on green buildings to supplement the language already incorporated on energy efficiency. This framework legislation is expected to be shared with stakeholders in February and submitted to Parliament in March 2014.

A meeting of key stakeholders involved in the building industry took place December 19, 2013, at Winrock's office. The meeting covered issues of energy efficiency in construction and green building rating schemes worldwide as well as current practices in Georgia and discussed priorities and approaches for promoting greater investment in energy efficiency and green buildings in Georgia.

### *Component 3: National EC-LEDS Working Group and Advisory Assistance*

The bilateral EC-LEDS initiative provides a strategic framework for the GOG to articulate concrete actions, policies, and programs that slow the growth of emissions while advancing economic growth and meeting Georgia's development objectives. Winrock will participate in the national EC-LEDS working group and will play a critical role in making sure that assistance activities are linked with national priorities and that data, findings, and results at the municipal level are used to inform national actions, policies, and programs.

During this quarter the Regional EC-LEDS program presented the EC-LEDS Clean Energy Program at the first EC-LEDS Steering Committee (SC) meeting in October and met with the Ministry of Environment to agree on next steps for supporting the EC-LEDS SC, including providing feedback on the subject areas and makeup of technical working groups established to implement the SC work plan. The Ministry of Environment will convene a donors' meeting in quarter 2 with support from Winrock.

### *Public Outreach Activities*

In order to reach EC-LEDS Clean Energy Program goals and build a clear understanding of the benefits of energy efficiency technologies and green buildings and implementation tools, the program incorporates public outreach activities across all components. Work has begun on developing a strategy for public awareness activities to support all program components.

### *Financial Activities*

A series of meetings were held with local banks and financial institutions to introduce them to the EC-LEDS program and gather information on their interest in financing energy efficiency and renewable energy projects and on the current lending market for building developers. To generate interest in and demand for GB certification, Winrock's discussed with banks how to promote financial incentives such as green mortgages and energy efficiency improvement loans to attract construction and housing companies, property developers, and materials suppliers to invest in energy efficient and green buildings as Georgia aligns its building codes with EU standards.

### *Environmental Protection Activities*

The Winrock EC-LEDS team will undertake a series of activities to carefully examine the environmental considerations of all program components and activities. Winrock is currently drafting a scoping statement (SS) for those components not subject to a categorical exclusion (CE) or CE with conditions per the Initial Environmental Examination (IEE).

## **Program Progress (Quantitative Impact)**

The Performance Monitoring Plan (PMP) was finalized, submitted to USAID for review, and revised to respond to USAID comments. This included year 1 targets for all RFA-required indicators. Progress will be included in the quarter 2 report due in April 2014.

## **Project Administration**

Training was held for sub-awardees on USAID management and financial compliance, and they are in the process of developing and implementing key policies and procedures based on the training.

Winrock hired a Monitoring and Evaluation expert who will begin work as a project employee in mid-January. Once he is on board, he will focus on the baseline survey and on designing the process for M&E management, including updating the PMP, reporting, and project monitoring.

### **Next Quarter's Work Plan**

Implementation is expected to follow the timeline included in the submitted Work Plan.

## II. KEY ACHIEVEMENTS (Qualitative Impact)

The EC-LEDs Clean Energy Program, funded by USAID/Caucasus, is a four-year program implemented by Winrock International to support Georgia's efforts to increase climate change mitigation through energy efficiency and clean energy. The broader goal is to enable more responsible management and development of Georgia's natural endowments. The objectives of the program are to

- Support Georgian municipalities in institutionalizing and implementing climate change mitigation measures;
- Promote and facilitate private-sector investments in energy efficiency and green buildings; and
- Build the capacity of the GOG to develop and implement a national Low Emissions Development Strategy in support of the U.S. Government EC-LEDs initiative.

Components 1 and 2 will be implemented throughout the four years and will be continued by the local organization in the last two years of the program. Component 3 will be completed by the end of the third year.

During the four years of the program, the EC-LEDs Clean Energy Program is expected to reduce GHG emissions in Georgia by at least 236,372.9 metric tons of CO<sub>2</sub> equivalent, facilitate up to \$14 million in private sector investments in clean energy, and lead to energy savings of up to 315 GWh (the equivalent of approximately \$22 million).

### Component 1: Georgian Municipal Energy Efficiency (GeMunee)

In 2008, the EU launched the COM to endorse and support local governments in implementing sustainable energy policies. Cities and local authorities that want to join or become signatories to the COM must follow certain steps and take certain actions. For example, signatories must create an inventory to quantify GHG emissions, develop a Sustainable Energy Action Plan (SEAP), and establish a Sustainable Energy Office or regional Sustainable Energy Resource Center, among other things. Seven cities are currently signatories in Georgia—Batumi, Gori, Kutaisi, Poti, Rustavi, Tbilisi, and Zugdidi. The first city to become a signatory in Georgia, Tbilisi, developed and submitted its SEAP in 2011 and established a Sustainable Energy Agency with assistance from USAID.

The EC-LEDs Clean Energy Program, through the GeMunee component, will build on USAID's support for Tbilisi and expand assistance to at least nine other municipalities to enable their participation in the COM, including those that are already signatories. Assistance will be limited to those municipalities that are not receiving assistance for similar activities from other donors.

Assistance to the ten municipalities will include:

- Development and implementation of SEAPs;
- Establishment of Sustainable Energy Offices or Regional Sustainable Energy Resource Centers;
- Development of Monitoring/Reporting/Verification Plans;
- Development of Sustainable Energy Public Awareness Plans;
- Identification and implementation of Demonstration Projects via Partial Grants; and
- Development Credit Authority Guarantees and Financial Institution Assistance.



During quarter I, the project focused on requesting additional information from municipalities and on planning field visits to finalize and prioritize the ten (10) municipalities to be assisted. Data collection plans were made and Remissia began developing the EIPMP tool for use by municipalities.

## **Component 2: Green Building Rating and Certification System**

The EC-LEDS program is tasked with recommending, developing, and implementing a voluntary GB rating system in Georgia. This is partly due to the lack of support from the GOG to develop a mandatory energy code. However, the new government may be more open to developing such a code. The Alliance to Save Energy is the primary partner for this task, with support from the GBCG and SDAP-Center.

Revisions of the building and construction codes are in process, with initial efforts focused on developing a framework construction code, primarily on safety. The Ministry of Economy and Sustainable Development's Office of Spatial Planning and Construction Policy, headed by Mr. David Gigineishvili, is developing this code with assistance from USAID's Economic Prosperity Initiative (EPI). EC-LEDS has been invited to provide language on green buildings to supplement the language already incorporated on energy efficiency. This framework legislation is expected to be shared with stakeholders in February and submitted to Parliament in March 2014.

During the first quarter, Dr. John Williams of the Alliance to Save Energy conducted an assessment of energy efficiency in buildings and green buildings in Georgia. This assessment documented the current status of building EE and GB in Georgia and the market for EE and GB. During this assessment, Dr. Williams and other members of the EC-LEDS Clean Energy program team also held a meeting with Madame Muriel Lambert de Rouvroit, Program Manager at the European Union Delegation to Georgia. The Project Chief of Party (COP) briefed the EU Delegation representative on the EC-LEDS program in Georgia. Madame Lambert de Rouvroit summarized activities in which the EU Delegation to Georgia is currently involved, including energy efficiency and green building projects. The parties discussed possibilities of joint activities and cooperation. Members of the team also visited an existing building energy efficiency (up-grade) project in Tbilisi, Georgia. This project is a multi-story (9-floor) residential building. Mr. George Abulashvili facilitated the project site visit, which included a summary of the project concept, engineering consultancy, project management, project financing format, and project implementation.

The first meeting of the Green Building Working Group took place on December 19, 2013, at Winrock's office. The meeting covered issues of EE in construction and GB certification and rating schemes worldwide, their criteria, and a comparison of GB certification schemes. At the same time, the Georgian company Wood Service presented its work covering EE and GB projects, and the GBCG presented its work on GB in Georgia. The SDAP-Center and GBCG supported Dr. Williams in conducting the assessment and workshop and in developing recommended next steps.

A report is in progress that will recommend an approach to promoting EE and GB, including support for incorporating EE into building/construction codes and developing a voluntary GB Rating and Certification system.

### **Component 3: National EC-LEDS Working Group and Advisory Assistance**

The bilateral EC-LEDS initiative provides a strategic framework for the GOG to articulate concrete actions, policies, and programs that slow the growth of emissions while advancing economic growth and meeting Georgia's development objectives. This framework will provide a foundation for achieving long-term, measurable GHG emission reductions, as compared to a BAU development pathway, and for improving environmental management in Georgia. Representatives of the U.S. Government, including USAID, and the GOG (from various ministries) formed a working group to achieve the goals and actions agreed upon by both countries in the Memorandum of Understanding signed on December 17, 2012.

Winrock will participate in the working group and will play a critical role in making sure that assistance activities are linked with national priorities, and that data, findings, and results at the municipal level are used to inform national actions, policies, and programs. This will include providing advisory assistance to the GOG as needed. Areas for bilateral cooperation and assistance may include activities that increase and encourage the use of clean and energy efficient resources; support the development of a national GHG inventory system; improve the policy environment in low emissions economic growth; expand economy-wide and technical modeling efforts; and improve governance of Georgia's natural resources. Component 3 is led by Winrock, with support from local partner Remissia and international partner DWG.

During this quarter the DCOP presented the EC-LEDS Clean Energy Program at the first EC-LEDS SC meeting in October. After the first SC meeting in October, the COP, DCOP and Remissia held two (2) additional meetings with the Ministry of Environment to agree on critical assumptions and identify priorities for supporting the EC-LEDS working group. At these meetings, the three focus areas of the EC-LEDS program were reiterated, the specific assistance to be provided by the EC-LEDS program to the SC was reviewed, and key issues were clarified. The plans for the technical working groups were discussed, and Winrock provided input on the groups' organization, focus areas, and planned leadership.

Most of the technical working groups will be managed by the relevant responsible Ministries. The exception is the buildings group, which is not the responsibility of any particular Ministry. Winrock suggested that the Ministry of Economy and Sustainable Development lead this group since it plans to develop a strategy for energy efficiency in housing. If this Ministry does not express interest in leading this group, the Ministry of Environment will ask Mr. Giorgi Abulashvili, Director of the Energy Efficiency Center, who is also the liaison for municipalities to the COM, to lead the group. Remissia will investigate how waste management and policy are organized under the Ministry of Regional Development and Infrastructure.

During quarter 2, Winrock will meet with the newly established SC technical working groups to share how LEDS relates to their Ministries' mandates. It was agreed that the Ministry of Environment will convene a donors' meeting, as its current focus is on hiring staff. Winrock will develop a list of donors with contact information, draft an agenda, and suggest meeting dates for consideration by the Ministry.

Collaboration with other EC-LEDS planning activities began through meetings with the HPEP. Specifically, Winrock and HPEP will collaborate on implementing the residential end-use survey in order to link end use and attitudes/knowledge of consumers, as well as on

obtaining municipally relevant data in addition to nationally relevant data. Also, Winrock will build on the energy plan developed by HPEP in developing the BAU scenario for the EC-LEDS committee using the MARKAL model.

Meetings with the Regional EC-LEDS program focused on how the EC-LEDS Clean Energy program can build on the regional program's work on the MARKAL Georgia model. In addition, a member of the Winrock team participated in the MARKAL Georgia training conducted for the Ministry of Energy and Natural Resources Analytical Department (MoE-AD) during the first quarter. By the end of these two workshops, the MoE-AD had a good understanding of all base year input data needs and template organization and structure, in particular how to calibrate the model and develop a reference scenario.

### **Public Outreach Activities**

In order to reach EC-LEDS Clean Energy Program goals and build a clear understanding of the benefits of energy efficiency technologies and green buildings and tools for their implementation, the program incorporates public outreach activities across all components.

During the reporting quarter, the EC-LEDS Clean Energy Program scheduled a project launch for the week of January 27, 2014, which will host the representatives from USAID/Caucasus Mission, members of the Steering Committee on the Low Emissions Development Strategy, international donor organizations, NGOs, and universities. All preparatory work is in progress.

At the beginning of January 2014, EC-LEDS will host two experts from its partner organization, Alliance to Save Energy. The Alliance will support EC-LEDS in developing a strategy for the public awareness activities planned for Components 1 and 2.

### **Financial Activities**

Meetings were held with local banks and financial institutions to introduce them to the EC-LEDS program and gather information on their interest in financing energy efficiency and renewable energy projects, as well as on the current situation and lending market for building developers. Meetings were held with the following financial institutions:

- TBC Bank
- EnergoCredit
- Bank Republic
- ProCredit Bank
- EBRD

These meetings documented that although banks are open to financing energy efficiency projects, there is very little demand. TBC Bank and Bank of Georgia are involved in EBRD's EnergoCredit program, offering customers preferential loans with up to 15% cash back for energy efficiency and renewable energy projects. Bank Republic will also sign on to EBRD's EnergoCredit program beginning in January 2014. ProCredit Bank has its own Eco Loans program offering preferential rates to customers willing to participate (-1% vs. regular rates). The lending market for building developers is still slow following the market collapse of 2008, and banks are refraining from lending money to developers.

To generate interest in and demand for GB certification, Winrock's Finance Expert, Giorgi

Giorgobiani, also discussed with the banks how to promote financial incentives such as green mortgages and energy efficiency improvement loans to attract construction and housing companies, property developers, and materials suppliers to green building as Georgia aligns its building codes with EU standards.

### **Environmental Protection Activities**

To ensure that all necessary measures are taken to protect the environment, and to comply with 22 CFR 216 Environmental Compliance Procedures and the approved Initial Environmental Examination (IEE, DCN: 2012-GEO-076) for this project, the Winrock EC-LEDS team will undertake a series of activities to carefully examine the environmental considerations of all initiative components and activities.

Based on the approved IEE document for the EC-LEDS program, a detailed description of year I environmental compliance activities, along with the EMMP for the program, was developed and incorporated into the initial work plan. The EMMP describes how the program will implement all IEE conditions that apply to project activities, including monitoring the implementation of the project components and their effectiveness.

The approved IEE for the EC-LEDS program confirmed the potential for significant adverse effects of one or more activities and recommended carrying out an EA<sup>1</sup> or PEA pursuant to 22 CFR 216.3(a)(4). Work has begun on developing a scoping statement (SS) for those EC-LEDS Clean Energy program components that are not subject to a categorical exclusion or negative determination with conditions (i.e., a positive determination) per the approved IIE. This includes a literature review of environmental issues associated with the EC-LEDS program, developing baseline information to serve as the basis for future monitoring, analysis of alternatives to the proposed actions, and conducting a comparison of the environmental impacts associated with these alternatives. After finalization, the SS will be submitted to the BEO for clearance and approval.

### **Deliverables and Products Submitted**

During the first quarter of the program, the work plan for Year I, and the final PMP were submitted to USAID for comments, revised, and resubmitted at the end of December.

### **Lessons Learned**

Implementation of the program has just begun in Quarter I. Lessons learned will be included in the report for year I, quarter 2.

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<sup>1</sup> An EA per 22 CFR 216.6, shall be prepared based on the SS and cleared by BEO prior to the start of activities that have not been excluded from further review.

### **III. PROGRAM PROGRESS (Quantitative Impact)**

The PMP for year I of the EC-LEDS program was incorporated into the revised work plan submitted to USAID at the end of December. Progress towards achieving targets will be included in the quarter 2 report due in April 2014 per the EC-LEDS Cooperative Agreement.

### **IV. MONITORING**

Since the PMP was completed in quarter I, and implementation has just begun, no monitoring activities have yet taken place.

### **V. PROJECT ADMINISTRATION**

#### **Constraints and Critical Issues**

It was determined that capacity-building for local sub-awardees must be fast-tracked before moving to cost reimbursable agreements with advances. Winrock's compliance manager held training on financial, compliance and other management issues with all local subcontractors and they are in the process of developing and implementing key management and financial policies and procedures based on this training. Though this has required significant resources of our subcontractors, work proceeds according to the work plan.

#### **Personnel**

A Monitoring and Evaluation specialist was hired in December, 2013. Mr. David Gvenetadze will begin working January 15, 2014 and will provide limited consulting assistance prior to that date, on a part-time basis.

#### **Changes in the Project**

USAID is interested in committing more resources to provide Technical Assistance to the GoG for Component 3, Assistance to the EC-LEDS Steering Committee. Also, the approach to Component 2 will be revised primarily to account for the GoG's commitment to incorporate energy efficiency and green buildings into the new framework legislation on construction currently being developed. A modification to the program description is expected in Quarter 2.

#### **Contract Modifications and Amendments**

An amendment was completed to obligate additional funds into the Winrock CA for the EC-LEDS Clean Energy Program. No other amendments to the CA were completed.

## **VI. NEXT QUARTER'S WORK PLAN**

The Revised Work Plan for Year I was submitted to USAID at the end of quarter I, in response to USAID comments on the initial work plan submitted on November 8, 2013. Implementation is expected to follow the submitted work plan.

## Annexes

### **Annex I: Schedule of Future Events**

During the reporting quarter, the EC-LEDS Clean Energy Program scheduled a project launch for the week of January 27, 2014, which will host the representatives from USAID/Caucasus Mission, members of the Steering Committee on the Low Emissions Development Strategy, international donor organizations, NGOs and universities. All preparatory work is in progress. The location of the event will be finalized in Quarter 2.

### **Annex II: Planned Deliverables and Products**

Per the work plan, during the second quarter, a report on the assessment of Energy Efficient and Green Buildings and the Environmental Scoping Statement will be submitted to USAID. Additional products, including a launch event report and media monitoring reports, may also be submitted to USAID.